



Express Mail No. **ER499327510US**

Attorney Docket No. **10113081**

PATENT



Date: **October 22, 2003**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Mail Stop Patent Application

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s):

Yi-Nan CHEN; Hui-Min MAO; Chih-Yuan HSIAO; Ming-Cheng CHANG

For (title):

MEMORY DEVICE WITH VERTICAL TRANSISTORS AND DEEP TRENCH CAPACITORS AND METHOD OF FABRICATING THE SAME

1. Type of Application

This new application is for a(n)

- ☒ Regular utility (nonprovisional)
- ☐ Design
- ☐ Plant

- ☐ Divisional
- ☐ Continuation
- ☐ Continuation-in-part (C-I-P).

2. Benefit of Prior U.S. Application(s) (35 U.S.C. §§ 119(e), 120, or 121)

- ☐ The new application being transmitted claims the benefit of prior U.S. application(s). Enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

PATENT**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the application of:

Inventors: Yi-Nan CHEN; Hui-Min MAO; Chih-Yuan HSIAO; Ming-Cheng CHANG

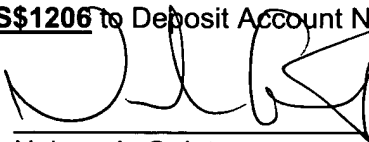
Title: MEMORY DEVICE WITH VERTICAL TRANSISTORS AND DEEP
TRENCH CAPACITORS AND METHOD OF FABRICATING THE SAME

Date: October 22, 2003

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450**FEE DESCRIPTION TO ACCOMPANY LETTER TO PTO
CONTAINING DEPOSIT ACCOUNT ORDER FOR STATUTORY FEES**

This fee description is filed in duplicate, with respect to the request for a deposit account charge in the attached new case transmittal.

A. <input checked="" type="checkbox"/> Filing Fee	\$ <u>1166</u>
B. <input checked="" type="checkbox"/> Recording assignment (37 C.F.R. 1.21(h)) (See attached RECORDATION FORM COVERSHEET.)	\$ <u>40</u>
C. <input type="checkbox"/> Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached (37 C.F.R. §§ 1.47 and 1.17(i))	\$ <u> </u>
D. <input type="checkbox"/> For processing an application with a specification in a non-English language (37 C.F.R. §§ 1.52(d) and 1.17(k))	\$ <u> </u>
E. <input type="checkbox"/> Fee for international-type search report (37 C.F.R. 1.21(e))	\$ <u> </u>

Total fee charge \$ 1206Authorization is made to charge the amount of **US\$1206** to Deposit Account No. 502447.Quintero Law Office
1617 Broadway, 3rd Floor
Santa Monica, California 90404
Telephone: (310) 401-6180
Facsimile: (310) 401-6185Nelson A. Quintero
Attorney for Applicant
Reg. No. 52,143
Customer No. 34,283

3. Papers Enclosed

A. Required for filing date under 37 C.F.R. § 1.53(b) (Regular) or 37 C.F.R. 1.153 (Design) Application

10 Page(s) of specification

8 Page(s) of claims

5 Sheet(s) of drawing

☐ The enclosed drawing(s) are photograph(s).

☐ The enclosed drawing(s) are in color. Three (3) sets of color drawings and a "PETITION TO ACCEPT COLOR DRAWING(S)" are attached. 37 C.F.R. §§ 1.84(a)(2) and 1.84(b).

☒ Formal

☐ Informal

B. Other papers enclosed

3 Page(s) of declaration **(including power of attorney)**

1 Page(s) of abstract

☐ Other:

4. Additional Papers Enclosed

☐ Amendment to claims

☐ Cancel in this application claims ☐ before calculating the filing fee. (At least one independent claim must be retained for filing purposes).

☐ Add the claims shown on the attached amendment. (Claims added have been numbered consecutively following the highest numbered original claims.)

☐ Preliminary Amendment

☐ Information Disclosure Statement (37 C.F.R. § 1.98)

☐ Form PTO-1449 (PTO/SB/08A and 08B)

☐ Citations

☐ Authorization of Attorney(s) to Accept and Follow Instructions from Representative

☒ Return Receipt Postcard in accordance with MPEP 503

☐ Verified Statement Claiming Small Entity Status (37 C.F.R. § 1.27)

☐ Other:

5. Declaration or Oath (including power of attorney)

- ☒ Enclosed, executed by
- ☒ inventor(s).
 - ☐ legal representative of inventor(s). 37 C.F.R. §§ 1.42 or 1.43.
 - ☐ joint inventor or person showing a proprietary interest on behalf of inventor who refuses to sign or cannot be reached.
 - ☐ This is the petition required by 37 C.F.R. § 1.47 and the statement required by 37 C.F.R. § 1.47 is also attached. See item 12 below for fee.
- ☐ Not Enclosed
- ☐ Application is made by a person authorized under 37 C.F.R. § 1.41(c) on behalf of all the above named inventor(s).
 - ☐ Showing that the filing is authorized.
(Not required unless called into question. 37 C.F.R. 1.41(d))

6. Language

- ☒ English
- ☐ Non-English
- ☐ The attached translation includes a statement that the translation is accurate. 37 C.F.R. § 1.52(d).

7. Assignment

- ☒ An assignment of the invention to: **Nanya Technology Corporation**
- ☒ is attached. A separate RECORDATION FORM COVERSHEET is also attached.
 - ☐ will follow.
 - ☐ This is a ___ continuation ___ division application and the assignment for the parent application _____ was recorded on _____.

Reel _____
Frame _____

8. Foreign Priority Claim (35 U.S.C. § 119(a)-(d)) and Certified Copy

Certified copy(ies) of application(s)

Taiwan	92118167	7/3/2003
Country	Appln. No.	Filed
Country	Appln. No.	Filed

from which priority is claimed

☒ is (are) attached.☐ will follow.**9. Request for International-Type Search (37 C.F.R. § 1.104(d))**

☐ Please prepare an international-type search report for this application at the time when national examination on the merits takes place.

10. Assertion of Small Entity Status

☐ Applicant hereby asserts status as a small entity under 37 C.F.R. § 1.27.

11. Fee CalculationA. ☒ Regular utility application

	Number filed	CLAIMS AS FILED			Rate	Basic Fee 37 C.F.R. § 1.16(a)	
			Number Extra			\$	
Total Claims (37 C.F.R. § 1.16(c))	42	-20 =	22	x	18	\$	396
Independent Claims (37 C.F.R. § 1.16(b))	3	-3 =	0	x	86	\$	0
Multiple Dependent Claim(s) (37 C.F.R. § 1.16(d))	0			+	290	\$	0

☐ Amendment canceling extra claims is enclosed.☐ Amendment deleting multiple-dependencies is enclosed.☐ Fee for extra claims is not being paid at this time.Filing Fee Calculation \$ 1166B. ☐ Design application (37 C.F.R. 1.16(f))

Filing Fee Calculation \$ _____

C. ☐ Plant application (37 C.F.R. 1.16(g))

Filing Fee Calculation \$ _____

12. Fee Payment Being Made at This Time

☐ Not Enclosed

☐ No filing fee is to be paid at this time

☒ Enclosed

☒ Filing Fee \$ 1166

☒ Recording assignment (37 C.F.R. 1.21(h)) (See attached RECORDATION FORM COVERSHEET.) \$ 40

☐ Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached (37 C.F.R. §§ 1.47 and 1.17(i)) \$ _____

☐ For processing an application with a specification in a non-English language (37 C.F.R. §§ 1.52(d) and 1.17(k)) \$ _____

☐ Processing and retention fee (37 C.F.R. §§ 1.53(d) and 1.21(l)) \$ _____

☐ Fee for international-type search report (37 C.F.R. 1.21(e)) \$ _____

Total Fees Enclosed \$ 1206

13. Method of Payment of Fees

☐ Attached is a check in the amount of \$ _____

☒ Authorization is made to charge the amount of \$ 1206

☒ to Deposit Account No. 502447.

☐ to the Credit card as shown on the attached credit card information authorization form PT-2038.

14. Authorization to Charge Additional Fees

☒ Authorization is made to charge any additional fees which may be required under 37 C.F.R. 1.16 (filing fees and the presentation of extra claims) and 37 C.F.R. 1.17 (application processing fees) to Deposit Account No. 502447.

15. Instruction as to Overpayment

 X Please credit overpayment to Deposit Account No. 502447.

Please send correspondence to:

Quintero Law Office
1617 Broadway, 3rd Floor
Santa Monica, California 90404

Telephone: (310) 401-6180
Facsimile: (310) 401-6185

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'N. Quintero', written over a horizontal line.

Nelson A. Quintero
Attorney for Applicant
Reg. No. 52,143
Customer No. 34,283 (please enter this data)